

Audit Report (Stage 2) ----

Organisation **Malad Kandivli Education Society's Nagindas Khandwala College Of Commerce, Arts & Managements Studies And Shantaben Nagindas Khandwala College Of Science / The Bombay Suburban Grain Dealers' Junior College Of Commerce, Arts & Science**
Audits (ZA): **4821/2010**



Master Data of Organisation

Name of Organisation	Malad Kandivli Education Society's Nagindas Khandwala College of Commerce, Arts & Management Studies and Shantaben Nagindas Khandwala College of Science and The Bombay Suburban Grain Dealers' Junior College of Commerce, Arts and Science	
Name of corporate group (in case of group certification)		
Street	Bhadran Nagar, Road No.1, S.V.Road, Malad West, Mumbai - 400 064	
Postcode / Town / Country	400064 Mumbai / Maharashtra	
Contact	Dr. (Mrs) Moushumi Datta – Professor & MR	
E-Mail	<moushumi@nkc.ac.in>	
Phone/Fax	022 28072262 , 022 28085424	022 28072262 , 022 28085424
Language	English	
Scope Description	Design and Development of Curriculum and Imparting Education to Under Graduate students in the Faculty of Commerce, Arts, IT and Computer Science and Post Graduate students of Commerce, Arts and IT, affiliated to the University of Mumbai. Imparting Education to Higher Secondary Students of Maharashtra State Board – Mumbai Division in the Commerce and Arts stream	
	more description regarding scope in annex	
Industry / Scope (EA, TA, ...)	37.0, 37.1	

Audit profile

Standards under contract / Audit type	ISO 9001 : QMS Rev. / ReCertification	--- : ---
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System documentation: Revision / Issue		
Surveillance mode	Yearly surveillance	
Audit team leader / responsible	V.G. Patil	
Audit team	KIRAN DHAVALÉ	
Technical expert		
Trainee		
Multisite-organisation	All sites are listed in: <input type="checkbox"/> Audit Reference Data Sheet <input type="checkbox"/> separate Listing <input type="checkbox"/> Audit program/ATEA <input type="checkbox"/> Multisite-certification (Sample)	
Shift operation	no shift operation	

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Audited Standards

ISO 9001 : 2015	
Exclusions: 7.1.5	
Audit team leader: V.G.Patil	Audit number(ZA): 4821/2010
Certificate number: 44100104403/01 & 02	Valid until: 14,09.2018
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:

Audit-Details

Sites	01
Audit date	17.12.18 – 19.12.18
Audit duration	5.00 person days on site including 1.00 person days for stage 1 audit (separate report)

Details for Stage 1 - Audit

Stage 1 – Audit	on site visit.	
Duration Stage 1 - Audit	ISO 9001:2015	1.00 person-day (s)
	:	0,00 person-day (s)
	:	0,00 person-day (s)
	:	0,00 person-day (s)
		1.00 total
Date Stage 1 - Audit	03.12.18 – 03.12.18	

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Distribution/Confidentiality/Rights of ownership/Limitations/Responsibilities

This report is sent to the certification body or bodies, the members of the audit team and the audit representative of the organisation. All documents (such as this report) regarding the certification procedure are treated confidentially by the audit team and the certification body. This audit report remains the property of the certification body.

An audit is a procedure based on the principle of random sampling and cannot cover each detail of the management system. Therefore nonconformities of weaknesses may still exist which were not expressly mentioned by the auditors in the final meeting or in the audit report.

The responsibility for continuous effective operation of the management system always rests solely with the audited and certified organisation.

Salvo clause:

The audit report will be left to the organisation at the end of the audit - subject to approval by the certification body. The independent release process may cause modifications or additions. In these cases a modified revision will be sent to the audited organisation.

Annex/Enclosures

Annex/ corresponding audit documentation	<input type="checkbox"/> Questionnaire(s) / Checklist(s) <input type="checkbox"/> Additional annexes, number
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Summary of results

ISO 9001:2015			--			--			--		
Clause	Audited	Result*	Clause	Audited	Result*	Clause	Audited	Result*	Clause	Audited	Result*
4.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.1	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.2	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.5	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.5	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.6	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.7	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
9.1	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
9.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
9.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
10.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
10.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
10.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
Obligatory elements from ISO17021:2011 Section 9.3.2.1									Audited	Result	
a) internal audits and management review;									<input checked="" type="checkbox"/>	1	
b) review of actions taken on nonconformities identified in previous audit;									<input checked="" type="checkbox"/>	1	
c) dealing with complaints;									<input checked="" type="checkbox"/>	1	
d) effectiveness of the system to achieve objectives;									<input checked="" type="checkbox"/>	1	
e) progress of planned activities aimed at continual improvement;									<input checked="" type="checkbox"/>	1	
f) the client's management system ability and its performance regarding meeting of applicable requirements;									<input checked="" type="checkbox"/>	1	
g) operational control of the client's processes;									<input checked="" type="checkbox"/>	1	
h) review of any changes including system documentation;									<input type="checkbox"/>	1	
i) use of marks and/or any other reference to certification.									<input type="checkbox"/>	na	
audited: <input checked="" type="checkbox"/> = audited sections of the standard;											
Result: 1 = fulfilled; 2 = basically fulfilled / potential for improvement; 3 = not fulfilled / nonconformity ; - = not applicable / excluded.											
Details are listed in the section "Detailed results". Fields with a coloured background are obligatory elements in every audit.											

Obligatory elements from A00VA02

a) Are temporary sites (i.e installation sites, project locations etc.) available?	yes <input type="checkbox"/>	no <input checked="" type="checkbox"/>
b) Which one are visited?	NA	

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Organisations profile

The organization is involved in providing education to students in the degree and post graduate degree courses in the faculty of arts, commerce, B.Sc (IT) and Computer Science and for higher secondary education in the faculty of arts and commerce.

The institution is headed by Mrs Dr. Ancy Jose, Principal, and Dr. Moushumi Datta, Professor (Geography) is nominated as the Senior D.R. (Designated Representative) for the quality management system. The organization employs about 100 personnel for their operations.

The core business processes include admissions, teaching & learning & examinations & support processes such as library, gymkhana, IT Support, infrastructure & maintenance etc.

Education facility consists of classrooms with audio visual projection systems, computer laboratories, language laboratory, library, conference rooms, auditoriums, teaching staff rooms, gymkhana,

The major customers to the organization are e.g. Students aspiring for learning and gaining knowledge .

Summary / explanations of results

Stage 1 audit was conducted on 3rd Dec. 2018. Documentation complies with the requirement of documented information. Overall documentation review was found to be satisfactory. The level of awareness on ISO 9001:2015 was satisfactory.

Stage 2 audit was conducted on 17th to 19th Dec. 2018 covering all of their core academic processes of teaching & learning & other support processes. Corrective actions on stage 1 audit findings were checked & found to be satisfactory. The organization has demonstrated satisfactory level of compliance against the requirements of ISO 9001:2015. There were no nonconformities identified. Hence the institute has been recommended for certification to ISO 9001:2015.

Conclusion

Taking into account the size and structure of the organisation, the products/services supplied and the process used, the organisation has basically demonstrated that it operates its management system in order to ensure fulfilment of its own requirements, the requirements of its customers and the relevant legal requirements.

This includes in particular:

- The policies from 15.01.2018, objectives and their implementation in the organisation
- The processes which exist in the management system and their interaction
- The management system documentation
- The recording system
- The resource management
- The measuring and analysis (management review from 20.09.18, audit planning from 23.08.18, audit report(s) from 05.09.18 and examples for indicators)
- The continual improvement process

also the implementation and the effectiveness of the management system and the processes for providing services/production/product realisation were assessed by the audit team by means of on-site inspection and examination of documents on a random sample basis.

Nonconformities, observations and the potential for improvement are described in the "Detailed Results" section.

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Notes for the detailed results

The evaluation of the audit results basically follows the scheme shown below:

Stage	Classification	Meaning
NC A	Major Nonconformity (Nonconformity A)	Nonconformities could be classified as major in the following circumstances: <ul style="list-style-type: none">• if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;• a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.
NC B	Minor Nonconformity (Nonconformity B)	Nonconformities could be classified as minor, if these do not affect the capability of the management system to achieve the intended results.
PI	Potential for improvement	Items which would allow optimisation of the management system in relation to the requirements of the relevant standard. It is recommended that the company implements these items.
GP	Positive aspects/ Good Practice	Positive aspects of the management system worthy of special mention (see also point 4.3 if applicable).
CM	Comments	Special situation and information to be traced in next audit.

Follow-up action(*):

NC A: Action plan with follow-up Audit or action plan and submission of documents.

NC B: Action plan and if necessary submission of documents.

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Detailed results

No.	NC A	Area / Process	Standard:clause	Set date
-	-	-	-	-

No.	NC B	Area / Process	Standard:clause	Set date
-	-	-	-	-

No.	PI	Area / Process	Standard:clause
1	The institute is monitoring the process performance against the indicators defined. However, systematic compilation of data for reference at a glance & evaluation of the same may be further improved e.g. degree examination process, junior college processes.	Examination (Degree & Junior College), Admissions (Junior College)	ISO 9001:2015, Clause 9.1.3
2	While gymkhana facility provided for the students extra curricular activities is being well used by the students & guided by experienced instructure, the documentation of training provided to the students may be further improved.	Extra Curricular	ISO 9001:2015, Clause 7.5
3	While good provision of class rooms with AC.s is provided to achieve student,s learning objectives, further improvement in terms of acoustics (noise from adjoining class/passage etc) , PA system in class , usage of laser pointers PPT presentations, Guide railings for raised platforms in classes, alignment of LCD projector with the screen etc. may be useful.	Teaching & Learning process (Degree & Junior College)	ISO 9001:2015 , 7.1.3/7.1.4

No.	GP	Area / Process	Standard:clause
1	Good infrastructure facilities for students education such as AC class rooms , projector facilities in class , Well equipped library and good teaching aids used such as PPT presentations / screens in class room etc . Facilities for extra curricular activities encouraged for students .	Top Management / Infrastructure	ISO 9001:2015 , 7.1
2	Top Management commitment for improvements in students development and performance , education facilities and driving support thro faculty members.	Top Management/ Customer Focus	ISO 9001:2015 , 5.1

No.	CM	Area / Process	Standard:clause
1	The process of monitoring effectiveness of training imparted to teaching staff be improved.	Competency/Training	ISO 9001:2015 , 7.2

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Management of non-conformities

- Nonconformities were not found - the procedure can continue.
 Nonconformities were found.

Follow-up action:

NC A: Action plan with follow-up Audit or action plan and the submission of documents

Action plan and follow-up audit

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing (Deadline: Within 6 weeks after the last audit day). Based upon the action plan the on-site review and evaluation of the introduction, implementation and effectiveness of implemented guided corrections and corrective actions take place (Deadline: Within 3 months after the last audit day).

or

Action plan and the submission of documents

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing (Deadline: Within 6 weeks after the last audit day). Based upon the action plan the on-site review and evaluation of the introduction, implementation and effectiveness of implemented guided corrections and corrective actions take place (Deadline: Within 3 months after the last audit day).

NC B: Action plan and if necessary the submission of documents

Action plan

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing (Deadline: Within 6 weeks after the last audit day).

Submission of documents (if necessary)

Based upon the action plan the on-site review and evaluation of the introduction, implementation and effectiveness of implemented guided corrections and corrective actions take place (Deadline: Within 3 months after the last audit day).

Note: The audit team leader directs the non-conformities as needed to the responsible auditor for processing.

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Results

Results	ISO 9001:2015	--	--	--
Fulfilled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open nonconformities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not fulfilled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow up actions				
None	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Document review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow up audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Next audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recommendations				
Grant/Extension*/Renewing*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Suspension	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Restoring				
Refusing / Withdrawal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***) Grant / Extension / Renewing / Maintenance in the case of open nonconformities assumes that the nonconformities will be cleared as agreed.**

Explanation of the terms:

Renewing: New issue of the certificate in the re-certification.

Restoring: End of the temporary invalidity of certificate after the suspension or delayed re-certification.

Comments for next audit

In the next audit, the final evidence of effectiveness, corrections and corrective actions will be assessed for the possible nonconformities from this audit.

The comments and potentials for improvement will be taken up again.


For the next audit it is preliminarily agreed: 03.12.2019

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Signatures

Date: 19.12.2018 Name: V.G.Patil	Signature Audit team leader 
Date: 19.12.2018 Name: Dr. Moushumi Datta	Signature Representative of organisation 